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PTO/SB/21' (8-00)

Approved for use through 10/31/2004. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**TRANSMITTAL  
FORM**

No. Pages in this  
submission

Application Number	10/814,038
Confirmation Number	8521
Filing Date	April 1, 2004
First Named Inventor	PHILIP PADILLA RUIZ et al
Group Art Unit	Not assigned
Examiner Name	Not assigned
Attorney Docket No.	RG2-3138-U

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached		
<input type="checkbox"/> Amendment/Response	<input type="checkbox"/> Drawing(s) FORMAL	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> After Final	<input type="checkbox"/> Licensing - related papers	
<input type="checkbox"/> Affidavits/Declaration		
<input type="checkbox"/> Extension of Time Requests	<input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to Provisional Application	<input type="checkbox"/> Appeal Communication to Group  <input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Information Disclosure Statement (Form SB08 with disclosed art)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Additional Enclosures identify below:
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Small Entity Stmt.	*Completion of Filing Requirements; Preliminary Amendment;
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Request for Refund	*Copy of Notice of Incomplete NonProvisional Application *Oath and Declaration/Power of Attorney *Statement by Practitioner
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Return Receipt Card <input type="checkbox"/> Remarks	

Firm or Individual  
Name

R. Reams Goodloe, Jr.

Reg. No.: 32,466

Signature

Date

August 13, 2004

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First-Class Mail (express mail label ER978821034US) in an envelope addressed to U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

Typed or printed  
name:

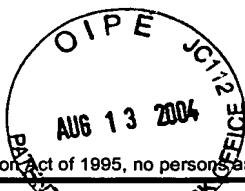
Rhonda Goodloe

Signature

Rhonda Goodloe

Date

08/13/04



<b>FEE TRANSMITTAL</b> <b>for FY 2004</b> <i>Patent fees are subject to annual revision</i>		<b>Complete if Known</b>		
		Application Number	10/814,038 Confirmation No. : 6291	
		Filing Date	April 1, 2004	
		First Named Inventor	PHILIP PADILLA RUIZ et al	
		Examiner Name	Not assigned	
		Group / Art Unit	Not assigned	
TOTAL AMOUNT OF PAYMENT (\$)		\$5.00	Attorney Docket No.	RG2-3138-U

<b>METHOD OF PAYMENT (check one)</b>		<b>FEE CALCULATION (continued)</b>																																																																																																																									
<b>1.</b> <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: 07-1613 Deposit Account Name: R. Reams Goodloe, P.S. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status 37 CFR 1.27		<b>3. ADDITIONAL FEES</b>																																																																																																																									
<b>2.</b> <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		<table border="1"><thead><tr><th>Large Entity Fee Code (\$)</th><th>Small Entity Fee Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>1051 130</td><td>2051 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>1052 50</td><td>2052 25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr><tr><td>1053 130</td><td>1053 130</td><td>Non-English specification</td><td></td></tr><tr><td>1812 2,520</td><td>1812 2,520</td><td>For filing a request for <i>ex parte</i> reexam.</td><td></td></tr><tr><td>1804 920*</td><td>1804 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>1805 1,840*</td><td>1805 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>1251 110</td><td>2251 55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>1252 420</td><td>2252 210</td><td>Extension for reply within second month</td><td></td></tr><tr><td>1253 950</td><td>2253 475</td><td>Extension for reply within third month</td><td></td></tr><tr><td>1254 1,480</td><td>2254 740</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>1255 2,010</td><td>2255 1005</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>1401 330</td><td>2401 165</td><td>Notice of Appeal</td><td></td></tr><tr><td>1402 330</td><td>2402 165</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>1403 290</td><td>2403 145</td><td>Request for oral hearing</td><td></td></tr><tr><td>1451 1,510</td><td>1451 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>1452 110</td><td>2452 55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>1453 1,330</td><td>2453 665</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>1501 1,330</td><td>2501 665</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>1502 480</td><td>2502 240</td><td>Design issue fee</td><td></td></tr><tr><td>1503 640</td><td>2503 320</td><td>Plant issue fee</td><td></td></tr><tr><td>1460 130</td><td>1460 130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>1807 50</td><td>1807 50</td><td>Processing fee under 37 CFR 1.17(q)</td><td></td></tr><tr><td>1806 180</td><td>1806 180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>8021 40</td><td>8021 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>1809 770</td><td>2809 385</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr><tr><td>1810 770</td><td>2810 385</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr><tr><td>1801 770</td><td>2801 385</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td colspan="3">Other fee (specify) _____</td><td>5.00</td></tr><tr><td colspan="3">SUBTOTAL (3) (\$)</td><td>5.00</td></tr></tbody></table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1051 130	2051 65	Surcharge - late filing fee or oath		1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet.		1053 130	1053 130	Non-English specification		1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexam.		1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action		1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action		1251 110	2251 55	Extension for reply within first month		1252 420	2252 210	Extension for reply within second month		1253 950	2253 475	Extension for reply within third month		1254 1,480	2254 740	Extension for reply within fourth month		1255 2,010	2255 1005	Extension for reply within fifth month		1401 330	2401 165	Notice of Appeal		1402 330	2402 165	Filing a brief in support of an appeal		1403 290	2403 145	Request for oral hearing		1451 1,510	1451 1,510	Petition to institute a public use proceeding		1452 110	2452 55	Petition to revive - unavoidable		1453 1,330	2453 665	Petition to revive - unintentional		1501 1,330	2501 665	Utility issue fee (or reissue)		1502 480	2502 240	Design issue fee		1503 640	2503 320	Plant issue fee		1460 130	1460 130	Petitions to the Commissioner		1807 50	1807 50	Processing fee under 37 CFR 1.17(q)		1806 180	1806 180	Submission of Information Disclosure Stmt		8021 40	8021 40	Recording each patent assignment per property (times number of properties)		1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))		1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))		1801 770	2801 385	Request for Continued Examination (RCE)		Other fee (specify) _____			5.00	SUBTOTAL (3) (\$)			5.00
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<b>2. EXTRA CLAIM FEES</b> Total Claims: <input type="text"/> - 20** = <input type="text"/> X <input type="text"/> = <input type="text"/> Independent Claims: <input type="text"/> - 3** = <input type="text"/> X <input type="text"/> = <input type="text"/> Multiple Dependent: <input type="text"/> = <input type="text"/> **or number previously paid, if greater; For Reissues, see below <table border="1"><thead><tr><th>Large Entity Fee Code (\$)</th><th>Small Entity Fee Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>1202 18</td><td>2202 9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>1201 86</td><td>2201 43</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>1203 290</td><td>2203 145</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>1204 86</td><td>2204 43</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>1205 18</td><td>2205 9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr><tr><td colspan="3">SUBTOTAL (2) (\$)</td><td></td></tr></tbody></table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1202 18	2202 9	Claims in excess of 20		1201 86	2201 43	Independent claims in excess of 3		1203 290	2203 145	Multiple dependent claim, if not paid		1204 86	2204 43	** Reissue independent claims over original patent		1205 18	2205 9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2) (\$)																																																																																																	
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<b>SUBMITTED BY</b>			<b>Complete (if applicable)</b>		
Typed or Printed Name	R. Reams Goodloe, Jr.		Reg. Number	32,466	
Signature		Date	08/13/04	Deposit Account User ID	4035

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. 1450, Alexandria, VA 22313-1450 EXPRESS MAIL LABEL NO.: ER978821034US



TRANSMITTAL - RESPONSE TO NOTICE OF INCOMPLETE  
NONPROVISIONAL APPLICATION  
Attorney Docket No: RG2-3138-U

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below in an envelope as "Express Mail Post Office to Addressee" mailing Label Number **ER978821034US** addressed to:

Commissioner for Patents  
Alexandria, VA 22313-1450

*Rhonda Goodloe*  
Signature of Depositor

Rhonda Goodloe  
Print Name of Depositor  
Date: August 13, 2004

**IN THE UNITED STATES**

**PATENT AND TRADEMARK OFFICE**

Confirm. No. 6291

Applicants PHILIP PADILLA RUIZ and  
GLENN NOEL PADILLA RUIZ

Serial No.: 10/814,038

Filed: April 1, 2004

Art Unit: not assigned  
Examiner: not assigned

Title: ILLUMINA

**Attention: Mail Stop Missing Parts**  
Commissioner for Patents  
Alexandria, VA 22313-1450

**COMPLETION OF FILING REQUIREMENTS**  
**- NONPROVISIONAL APPLICATION**

- I. ☒ This replies to the Notice of Incomplete NonProvisional Application mailed June 16, 2004.
- ☒ A copy of the Notice of Incomplete Nonprovisional Application is enclosed.
- II. ☐ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

OR

- ☒ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

Attached is a

- ☒ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

III. ☐ Cancel claims \_\_\_\_\_ inclusive.

IV. ☒ An assertion that this filing is by a small entity:

- ☐ is attached.
- ☐ was filed on \_\_\_\_\_ (original).
- ☐ was made by paying the basic filing fee as a small entity.
- ☒ is being made now by paying completion of payment of the basic filing fee as a small entity.

☐ A separate refund request accompanies this paper.

V. **COMPLETION FEES**

1. Filing Fee

1. Filing Fee

- ☐ original application  
(37 C.F.R. § 1.16(a))--\$770.00;  
Small entity - \$385.00 **\$380.00 already paid**
- ☐ design application  
(37 C.F.R. § 1.16(f))--\$340.00;  
Small entity - \$170.00 \$\_\_\_\_\_

2. Fees for claims

- ☐ each independent claim in excess of 3  
(37 C.F.R. § 1.16(b))--\$86.00;  
Small entity - \$43.00 \$\_\_\_\_\_
- ☐ each claim in excess of 20  
(37 C.F.R. § 1.16(c))--\$18.00;  
Small entity - \$9.00 \$\_\_\_\_\_
- ☐ multiple dependent claim(s)  
(37 C.F.R. § 1.16(d))--\$290.00;  
Small entity - \$145.00 \$\_\_\_\_\_

Total completion fees: **\$5.00**

**VI. EXTENSION OF TIME**

The proceedings herein are for a patent application and the provisions of 37 CFR § 1.136 (a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 CFR § 1.17(a)(1)-(4) for the total number of months checked below.

EXTENSION (months)	FEE FOR OTHER THAN SMALL ENTITY	FEE FOR SMALL ENTITY
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 420.00	\$ 210.00
<input type="checkbox"/> three months	\$ 950.00	\$ 475.00
<input type="checkbox"/> four months	\$ 1,480.00	\$ 740.00

FEE: \$ \_\_\_\_\_

If an additional extension of time is required, please consider this a petition therefore.

*(check and complete the next time, if applicable)*

- ☐ An extension for \_\_\_\_\_ months has already been secured. The fee paid therefore of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request: \$ \_\_\_\_\_

OR

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

VII. TOTAL FEE DUE

The total fee due is

Completion fee(s)      \$5.00

Petition fee              \$ \_\_\_\_\_

Total Fee Due: \$5.00

VIII. PAYMENT OF FEES

- ☒ Attached is a check in the sum of \$5.00.  
                 ☐ Charge Account No. 07-1613 the sum of  
   \$ \_\_\_\_\_.
- ☐ A duplicate copy of this transmittal is attached.
- ☒ Please charge Account No. 07-1613 for any additional  
fees that may be due by this paper.

IX. AUTHORIZATION TO CHARGE ADDITIONAL FEES

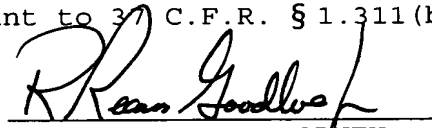
- ☒ The Office is hereby authorized to charge the  
following additional fees that may be required by this paper  
and during the pendency of this application to Account  
No. 07-1613.
- ☒ 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)
- ☒ 37 C.F.R. § 1.16(b), (c) and (d) (presentation  
of extra claims)
- ☒ 37 C.F.R. § 1.16(e) (surcharge for filing the basic  
filing fee and/or declaration on a date later than the  
filing date of the application)
- ☒ 37 C.F.R. § 1.17(a) (1-5) (extension fees pursuant to  
§ 1.136(a))
- ☒ 37 C.F.R. § 1.17 (application processing fees)
- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of  
Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

Date: August 13, 2004

Phone: 253-859-9128

Fax: 253-859-8915

Customer No. 20793

  
SIGNATURE OF ATTORNEY

R. Reams Goodloe, Jr.  
Reg. No. 32,466

24722-104th Avenue, S.E.  
Suite 102  
Kent, Washington  
98030-5322



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/814,038	04/01/2004	Philip Padilla Ruiz	

Glenn Noel P. Ruiz  
23926 113th Place SE  
Kent, WA 98031

CONFIRMATION NO. 6291

## FORMALITIES LETTER



\*OC000000012964048\*

Date Mailed: 06/16/2004

## NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

08/17/2004 HAHMED1 00000051 10814038

01 FC:2001

385.00 DP

FILED UNDER 37 CFR 1.53(b)

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below **and a newly executed oath or declaration covering the items must** be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)). Replies should be mailed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(h)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition. Petitions should be mailed to: Mail Stop Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

- The specification does not include at least one claim.  
*A complete specification as prescribed by 35 U.S.C. 112 is required.*
- The statutory basic filing fee is insufficient.  
*Applicant must submit \$ 5 to complete the basic filing fee for a small entity.*

COPY

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- An abstract of the technical disclosure not exceeding 150 words in length and commencing on a separate sheet in compliance with 37 CFR 1.72(b) is required. An abstract was not provided for this application.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is \$5 for a Small Entity

- \$5 Statutory basic filing fee.

Adjustment date: 08/17/2004 HAHMED1  
04/02/2004 HDEHESS1 00000099 10814038  
01 FC:2001 -380.00 DP

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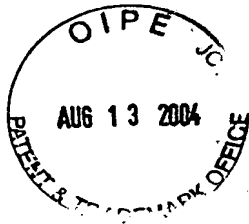
*A copy of this notice **MUST** be returned with the reply.*

Michael H. Hiber  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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STATEMENT BY PRACTITIONER  
Attorney Docket No.: RG2-3138-U

**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below in an envelope as "Express Mail Post Office to Addressee" mailing Label Number **ER978821034US** addressed to:

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*Rhonda Goodloe*  
Signature of Depositor

Rhonda Goodloe  
Print Name of Depositor  
Date: August 13, 2004

**IN THE UNITED STATES**

**PATENT AND TRADEMARK OFFICE**

Confirm. No. 6291

Applicants PHILIP PADILLA RUIZ and  
GLENN NOEL PADILLA RUIZ

Serial No.: 10/814,038

Filed: April 1, 2004

Art Unit: not assigned  
Examiner: not assigned

Title: ILLUMINA

Commissioner for Patents  
Alexandria, VA 22313-1450

**STATEMENT BY PRACTITIONER THAT APPLICATION FILED IN PTO IS  
THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION**

I, R. REAMS GOODLOE, JR.  
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Kent, Washington 98030-5322  
Phone: (253) 859-9128  
Reg. No.: 32,466

state I am the registered practitioner for this application and the application identified above is the application that the inventor executed by signing the Declaration that is being submitted herewith.

Respectfully submitted,

*R. Reams Goodloe*

**SIGNATURE OF ATTORNEY**

Date: August 13, 2004

Customer No.: 20793